

1. PURPOSE AND SCOPE

To define actions and identify responsibilities required to establish, verify, manage, and maintain documents to support personnel certification, qualification, and training. This procedure applies to all personnel in the High-Level Waste (HLW) program who perform waste acceptance activities and specifically delineates the requirements of audit personnel.

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2. REFERENCES

- a. DOE/RW-0333P, Office of Civilian Radioactive Waste Management (RW), Quality Assurance Requirements and Description (QARD)
- b. DOE-28, General Training Records, Federal Register Volume 58, No. 173
- c. SPP 4.02, Audits
- d. SPP 4.03, Readiness Reviews and Surveillances
- e. SPP 5.01, Deviation and Corrective Action/Tracking System
- f. SPP 4.04, Technical and QA Documents
- g. SPP 7.01, Quality Records
- h. ASME NQA-1 - Quality Assurance Requirements for Nuclear Facility Application
- i. ANSI N45.2.23 - Qualification of Quality Assurance Program Audit Personnel for Nuclear Power Plant

3. GENERAL

a. Discussion

The effort to maintain current and accurate training, certification, and qualification is a shared responsibility between managers, their staff, and support personnel. Initially, it is a manager's responsibility to ensure the initial set of required records in paragraph 4. below are submitted to QA records to support the establishment of each individual's record file. "Manager" in this context applies to all organizations which support HLW QA activities and includes both Directors and Program Managers. It is each individual's responsibility to ensure their training, certification and qualification is kept current and to submit updates to the appropriate files.

This procedure also provides guidance for personnel training, certification, and qualification for personnel participating in HLW review activities. The necessary qualification data for the personnel participating in these reviews should be forwarded to QA records prior to starting the activity. The remaining records for these activities are submitted as part of the record packages for the respective activity.

EM Lead Auditors who are assigned to audit activities in accordance with the requirements of DOE/RW-0333P shall be qualified and/or certified, as appropriate in accordance with this procedure. Technical Specialists who actually perform an audit function shall be qualified as auditors in accordance with this procedure. However, in order to allow for use of specialized Technical Specialists when needed, Technical Specialists not qualified as Auditors may be used provided they do not actually perform an audit function (i.e. they are in an advisory role to the audit team).

Note: The HLW program does not have a Lead Auditor qualification program. For Lead Auditors, this procedure applies to personnel who have already been qualified by other organizations (such as by an EM contractor, RW, or by the EM QA program) but require EM certification to perform HLW quality program audits.

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b. Definitions

See SPP Glossary of Terms and Acronyms

4. PROCEDURE

a. Administering Training, Certification, and Qualification Records

Performer

Action

Manager

(1) Prepares or obtains the following documents for those personnel who perform activities in accordance with the HLW QA Program and submits them to QA records/DOE System 28 Files after HLW QAPM acceptance:

(a) Individual Resume (Reference Attachment A).

(b) Verification of education and experience, or a justification statement when verification cannot be performed (Reference Attachment B). (Verification of education and experience will be conducted in accordance with the individual contractor or DOE Office of Management and Administration practices and procedures.)

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Performer

Action

- (c) Position Description (PD) identifying the minimum education and experience requirements for each position. (The PD will be developed in accordance with the individual contractor or DOE Office of Management and Administration practices and procedures.)
 - (d) Records of Qualification and Certification, as required, for Audit Team Leaders, Auditors, and Review Personnel, including maintenance records where applicable.
 - (e) The QA Training Plan identifies the training applicable to the participants activity in the HLW Program in accordance with SPP 3.01.
- (2) Prepares or obtains the following documents for HLW personnel who participate in the program, but whose support is limited to a specific activity or activities and submits them to QA Records/DOE System 28 Files when the individuals are selected to participate in the applicable activity:
- (a) Records of Qualification or Certification, as required, for auditors, technical specialists, and review personnel including maintenance records where appropriate.
 - (b) Training documentation to demonstrate orientation to DOE/RW-0333P, applicable HLW procedures, and other requirements as indicated in the QA Training Plan.
 - (c) Documents that describe or assign the applicable personnel to the limited role or specific activity within HLW Program (e.g. being assigned as an auditor for a specific audit).
- HLW Personnel
- (3) Submit updated QA training records, personnel files, and certifications to the HLW QAPM.
- HLW QAPM
- (4) Ensures that the training, qualification, and certification files are updated whenever the applicable records are submitted.

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Performer

Action

- (5) Maintains and provides access to the Personnel Certification, Qualification and Training records for each person in accordance with applicable portions of the DOE System 28 Records System.

NOTE: Records for off site personnel (e.g., SR, RL, and WV) are maintained at the respective site office.

b. Records

Performer

Action

HLW QAPM

- (1) Processes the following records including updates into the quality records system as Lifetime Records in accordance with SPP 7.01, as applicable:
- (a) Individual Resume (Reference Attachment A).
 - (b) Training Records (e.g., attendance sheets, training certificates).
 - (c) Employee Education & Experience Verification Form (Attachment B).
 - (d) Qualification and Certification Records.
 - (e) Position Description

**c. Qualification of Auditors and Technical Specialists Performing an Audit Function
(Attachment C)**

Performer

Action

HLW QAPM

- (1) Obtains completed qualification records if any, prepared by the qualifying organization.

NOTE: Records of off site personnel are reviewed and evaluated during EM HQ audits to qualify prospective auditors and technical specialists.

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- (2) Evaluates the prospective auditor's competence by ensuring the auditor has satisfactorily completed one of the following:

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- (a) Quality assurance program orientation which provides a working knowledge and understanding of DOE/RW-0333P and SPPs 4.02 and 5.01; or

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- (b) General, specialized, or on-the-job auditor training sufficient for qualification in accordance with NQA-1, or ANSI N45.2.23, and DOE/RW-0333P and SPPs 4.02 and 5.01.

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- (3) Ensures the above training is documented on a HLW Auditor/Technical Specialist Qualification Record (Attachment C) and attaches previous qualification records, if any. Approves the Qualification Record.

d. Certification of Lead Auditors (Attachment D)

Performer

Action

HLW QAPM

- (1) Obtains completed certification records, including objective evidence of the Audit Team Leader's examination contents, from the prospective Audit Team Leader.

Performer

Action

Note: If the initial qualification examination content is not available, the prospective Audit Team Leader may also show successful completions of an ASQC Certified Quality Auditor (CQA) examination or a Registrar Accreditation Board (RAB) or Institute of Quality Assurance (IQA) certified ISO 9000 Lead Assessor examination by submittal of a copy of the certificate issued by these organizations.

If an Audit Team Leader has no evidence of the above, then another Lead Auditor examination shall be requested from EM-5.

- (2) Determines if any additional training (such as working knowledge and understanding of DOE/RW-0333P, and SPPs 4.02 and 5.01) is necessary, and ensures that the additional training is provided and documented prior to certification.
- (3) Reviews the certification records from the other organization to ensure the Audit Team Leader's competency, and to ensure that the Audit Team Leader has maintained his qualifications satisfactorily since the date of certification.
- (4) Signs and dates the HLW Lead Auditor Qualification/Certification Record (Attachment D) to indicate certification of the Audit Team Leader to perform audits for the HLW QA program.

e. Maintaining Lead Auditor Proficiency (Attachment E)

Performer

Action

ATL

- (1) Obtains the annual maintenance of qualification documentation from the Audit Team Leader's employer or from EM-5.

Performer

Action

HLW QAPM

- (2) Reviews EM-5's or the employer's certification and evaluates the proficiency of each Audit Team Leader to continue performing as a Audit Team Leader in the HLW QA program.
- (3) Documents the basis for recertification in the HLW program by completing the HLW Lead Auditor Maintenance of Proficiency Record (Attachment E).

f. Records

Performer

Action

HLW QAPM

- (1) Processes the following as lifetime records into the central records facility in accordance with SPP 7.01:
 - (a) Completed HLW Auditor Qualification Records;
 - (b) HLW Lead Auditor Qualification/Certification Records (including objective evidence of the type and content of the examination);
 - (c) HLW Lead Auditor Maintenance of Proficiency Records; and
 - (d) Any supporting documentation (such as prior lead auditor certifications) generated or received as a result of implementing this procedure.

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5. ATTACHMENTS

- a. Attachment A - Typical Resume Content (Example)
- b. Attachment B - Employee Education & Experience Verification Form (Example)
- c. Attachment C - HLW Auditor/Technical Specialist Qualification Record (Example)
- d. Attachment D - HLW Lead Auditor Qualification/Certification Record (Example)
- e. Attachment E - HLW Lead Auditor Maintenance of Proficiency Record (Example)

6. REVISION HISTORY

<u>Revision</u>	<u>Description</u>	<u>Effective Date</u>
0	New Procedure	3/24/97
1	Incorporated IC-0-1, which stated that records of off site personnel are maintained at the respective site office, and that these records are evaluated during EM HQ Audits to qualify prospective auditors and technical specialists.	1/8/99
2	Removed QAPD reference; revised approval section per new EM organization; electronic reformatting; addressed internal audit 00-EA-IN-AU-01 issues regarding clarification of "Performers;" minor editorial revisions. As this is a major revision, change bars are not retained, in accordance with SPP 2.01, paragraph 4.d.(1).(b).	5/8/00
3	Revised section 4.c.(2) to conform better with QARD section 18.2.13. Revised "quality records system" to "central records facility" in section 4.f. Revised "Office of River Protection" "River Protection Office" and QAPM approval at section 7. Minor editorial revisions at section 1. Revised references to "DOE Human Resources" to "DOE Office of Management and Administration" at 4.a.(1).(b) & (c). Revised last sentences into separate notes at 4.a.(5) & 4.c.(1). Minor clarifications at 4.c.(2), (2).(a), and (2).(b). Added verification for "effective oral and written communication skills" to attachment D.	See SPP Index

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7. CONCURRENCE AND APPROVAL

	<u><i>Jesus J. Koutoumdreas</i></u> <u>For Kenneth Piche</u> Office of Technical Program Integration Office of Integration and Disposition	<u>12/21/00</u> Date
	<u><i>Mark E. Rawlings</i></u> Ohio Office Office of Site Closure	<u>12/21/00</u> Date
	<u><i>J. L. Wil</i></u> Savannah River Office Office of Project Completion	<u>12/21/2000</u> Date
Rev 3	<u><i>Thomas Wight</i></u> River Protection Office Office of Project Completion	<u>12/19/00</u> Date
Rev 3	<u><i>J. D. L.</i></u> Quality Assurance Program Manager	<u>12/22/00</u> Date

ATTACHMENT A

Typical Resume Content (Example)

1. Name of person.
2. Disciplines or areas of expertise.
3. Education -List schools attended and dates, and degrees received.
4. Experience - Each entry should include the job title; the company and organizational unit; the starting date and the ending date; and a brief summary of the duties/accomplishments in that position.
5. Licenses and Certificates - List the license or certificate and the licensing or certifying agency.
6. Professional Societies - List professional societies including date of membership and position/office held (if any).
7. Technical Skills - List technical skills.
8. Publication - List technical publications.

ATTACHMENT B
EMPLOYEE EDUCATION & EXPERIENCE VERIFICATION FORM (EXAMPLE)

EMPLOYEE EDUCATION & EXPERIENCE VERIFICATION FORM

NOTE: This form and its attachment, constitutes the only required QA record for selection of personnel and for verification of education and experience. Backup Verification Records for new employees should be compiled in accordance with the guidelines established by DOE/RW Lessons Learned/Program Clarification Document 93-001

Review of Education and Experience for Selection of Personnel

I have determined that _____ of

Name
_____ meets the minimum education
Organization
and experience requirements for the position of _____
Title
as stated in the attached position description. Relevant education and experience (e.g. resume) is attached.

Signature (and printed name) Supervisor Date

Verification of Education and Experience

To satisfy the requirements of the attached Position Description, the above employee=s relevant education and experience has been verified, as noted below

Education was verified as checked:

____ Telephone Records of Contact With University Registrars From Which the Required Degree Was Received OR
____ Receipt of Official University Transcripts or Other Documentation Directly From the University From
Which the Degree Was Received.

Experience was verified as checked for the number of years indicated:

____ Telephone Records of Contacts With Former Employers for the Past ____ Years, OR
____ Receipt of Written Documentation Directly From Former Employers for the Past ____ Years.
____ Contact Could Not Be Made With Specific Employers During the Time Frame indicated.
See Justification Below*

The Verification Was Conducted and Documented by (e.g. Equifax, HR, etc.) _____
and the Backup Verification Records are located at: _____.

I hereby certify that this individual=s education and experience have been verified to be true (except as noted below).

Signature (and printed name) Supervisor/Title Date

***Statement of Justification if unable to obtain verification (attach a separate sheet if needed)**

**ATTACHMENT C (EXAMPLE)
HLW AUDITOR/TECHNICAL SPECIALIST QUALIFICATION RECORD**

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HIGH-LEVEL WASTE PROGRAM
U.S. DEPARTMENT OF ENERGY
GERMANTOWN, MD

HLW AUDITOR/TECHNICAL SPECIALIST QUALIFICATION RECORD

NAME:

DATE:

EMPLOYER:

BASIS OF QUALIFICATION FOR AUDITOR

AUDITING RELATED TRAINING COURSES

Course Title or Topic

Date

OTHER SUPPORTING DATA

APPROVAL OF AUDITOR QUALIFICATION

SIGNATURE, HLW QUALITY ASSURANCE PROGRAM MANAGER DATE

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**ATTACHMENT D (EXAMPLE)
HLW LEAD AUDITOR QUALIFICATION/CERTIFICATION RECORD**

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HIGH-LEVEL WASTE PROGRAM
U.S. DEPARTMENT OF ENERGY
GERMANTOWN, MD

HLW LEAD AUDITOR QUALIFICATION/CERTIFICATION RECORD

Name _____ Employer _____

Audit Communication Skills

Employee's Supervisor _____ Date _____

Auditor Related Training Courses (Course Title or Topic, Provider of Training, Dates of Training)

Examination: Written ____ Oral ____ Practical ____ Date Passed _____

Evidence of Content Available: Yes ____ No ____

Additional Examinations Passed (ASQC CQA or ISO 9000) _____ Date _____

Effective oral and written communication skills: Yes: ____ No: ____

Certified by (Signature, HLW QAPM) _____ Date _____

**ATTACHMENT E (EXAMPLE)
HLW LEAD AUDITOR MAINTENANCE OF PROFICIENCY RECORD**

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HLW LEAD AUDITOR MAINTENANCE OF PROFICIENCY RECORD

Name _____ Employer _____

Training or review and study of codes, standards, implementing documents, instructions, and other documents related to the quality assurance program and program auditing:

Subject:

Date:

Audit Participation:

Organization Audited

Location

Date

Lead Auditor Annual Evaluation: Qualification Extended Yes___ No___

Certification _____ Date _____

HLW QA Program Manager